

PATENT COOPERATION TREATY

PCT

NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Commissioner
US Department of Commerce
United States Patent and Trademark
Office, PCT
2011 South Clark Place Room
CP2/5C24
Arlington, VA 22202
ETATS-UNIS D'AMERIQUE

in its capacity as elected Office

Date of mailing (day/month/year)

11 October 2001 (11.10.01)

International application No.

PCT/US01/00636

Applicant's or agent's file reference

hunzeb01.003

International filing date (day/month/year)

09 January 2001 (09.01.01)

Priority date (day/month/year)

10 January 2000 (10.01.00)

Applicant

HUNTER, Brian, A. et al

1. The designated Office is hereby notified of its election made:



in the demand filed with the International Preliminary Examining Authority on:

09 August 2001 (09.08.01)



in a notice effecting later election filed with the International Bureau on:

2. The election ☒ was



was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer

Zakaria EL KHODARY

Telephone No.: (41-22) 338.83.38

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US01/00636

A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : G06F 17/30

US CL : 705/36

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 705/36

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched
NONE

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
IEEE. WEST 2.0, DIALOG

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 5,812,987 A (LUSKIN et al) 22 September 1998, entire document	1-24
A	US 5,884,287 A (EDESESS) 16 March 1999, entire document	1-24
A	US 5,812,988 A (SANDRETTO) 22 September 1998, entire document	1-24
A	US 5,784,696 A (MELNIKOFF) 21 July 1998, entire document	1-24

☐ Further documents are listed in the continuation of Box C. ☐ See patent family annex.

* Special categories of cited documents:	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
"A" document defining the general state of the art which is not considered to be of particular relevance	"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
"E" earlier document published on or after the international filing date	"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"&" document member of the same patent family
"O" document referring to an oral disclosure, use, exhibition or other means	
"P" document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

21 FEBRUARY 2001

Date of mailing of the international search report

06 APR 2001

Name and mailing address of the ISA/US
Commissioner of Patents and Trademarks
Box PCT
Washington, D.C. 20231

Facsimile No. (703) 305-3230

Authorized officer

VINCENT MILLIN

Telephone No. (703) 308-1065

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

REC'D 19 OCT 2001
WIPO PCT

Applicant's or agent's file reference HUNTEB01.002	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US01/00636	International filing date (day/month/year) 09 JANUARY 2001	Priority date (day/month/year) 10 JANUARY 2000
International Patent Classification (IPC) or national classification and IPC IPC(7): G06F 17/30 and US Cl.: 705/36		
Applicant STRATEGIC CAPITAL NETWORK, LLC		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 3 sheets.

☐ This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority. (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 0 sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of report with regard to novelty, inventive step or industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand 09 AUGUST 2001	Date of completion of this report 27 AUGUST 2001
Name and mailing address of the IPEA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231	Authorized officer VINCENT MILLIN <i>James R. Matthews</i>
Facsimile No. (703) 305-3230	Telephone No. (703) 308-1065

I. Basis of the report**1. With regard to the elements of the international application:***

- ☒ the international application as originally filed
☒ the description.
pages 1-15 , as originally filed
pages NONE , filed with the demand
pages NONE , filed with the letter of _____
- ☒ the claims:
pages 16-20 , as originally filed
pages NONE , as amended (together with any statement) under Article 19
pages NONE , filed with the demand
pages NONE , filed with the letter of _____
- ☒ the drawings:
pages 1-4 , as originally filed
pages NONE , filed with the demand
pages NONE , filed with the letter of _____
- ☒ the sequence listing part of the
description: NONE , as originally filed
pages NONE , filed with the demand
pages NONE , filed with the letter of _____

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language _____ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
☐ the language of publication of the international application (under Rule 48.3(b)).
☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international

- ☐ contained in the international application in printed form.
☐ filed together with the international application in computer readable form.
☐ furnished subsequently to this Authority in written form.
☐ furnished subsequently to this Authority in computer readable form.
☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☒ The amendments have resulted in the cancellation of

- ☒ the description, pages NONE
☒ the claims, No. NONE
☒ the drawings, sheets-fig NONE

5. ☐ This report has been drawn as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).

* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

**Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

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INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/US01/00636

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. statement

Novelty (N)	Claims	<u>1-24</u>	YES
	Claims	<u>NONE</u>	NO
Inventive Step (IS)	Claims	<u>1-24</u>	YES
	Claims	<u>NONE</u>	NO
Industrial Applicability (IA)	Claims	<u>1-24</u>	YES
	Claims	<u>NONE</u>	NO

2. citations and explanations (Rule 70.7)

Claims 1-24 meet the criteria set out in PCT Article 33(2)-(4), because

Claims 1-10: the prior art does not teach or fairly suggest a method of determining reliability with regard to a first factor which is dependent on a set of at least two second factors and the method comprises determining reliability with regard to the first factor using a standard deviation as recited in claim 1.

Claims 11-18: a method of optimizing a first factor which is dependent on a set of at least two second factors, each of the second factors being diversely subject to a third factor comprising employing a constraints during the step of finding the particular configuration that specifies a reliability of the first factor with regard to the third factor which must be satisfied by the particular configuration as recited in claim 11.

Claims 19-25: a method of allocating investment funds among a set of at least classes to optimize valuation of the asset classes over a period of time comprising using a real option function to determine valuation for each asset class over the period of time for a particular allocation of the funds to the asset class.

----- NEW CITATIONS -----
NONE

TRANSMITTAL LETTER TO THE UNITED STATES RECEIVING OFFICE.

International Application

PCT/US01/00636

Attorney Docket No.

hunteb01.002

EL480617515US

I. Certification under 37 CFR 1.10 (if applicable)

EL480617515US

Express Mail mailing number

26 FEB 01

Date of Deposit

I hereby certify that the application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of person mailing correspondence

Gordon E. Nelson

Typed or printed name of person mailing correspondence

II. ☐ New International Application

TITLE

Earliest priority date
(Day/Month/Year)

SCREENING DISCLOSURE INFORMATION: In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☐ The invention disclosed was not made in the United States.
- B. ☐ There is no prior U.S. application relating to this invention.
- C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority.)

application no.		filed on	
application no.		filed on	

- D. ☐ The present international application contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C. above. The additional subject matter is found on pages and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15

III. ☒ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response
- B. ☒ A Power of Attorney (General or Regular)
- C. ☒ Replacement pages:

pages		of the request (PCT/RO/101)	pages	1-4	of the figures
pages		of the description	pages		of the abstract
pages		of the claims			

- D. ☐ Submission of Priority Documents

Priority document		Priority document	
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- E. ☐ Fees as specified on attached Fee Calculation sheet form PCT/RO/101 annex

IV. ☐ A Request for Rectification under PCT 91 ☐ A Petition ☐ A Sequence Listing Diskette

V. ☒ Other (please specify):

Assignment of invention with cover sheet and check for \$40 fee; US declaration; Return postcard

The person

☐ Applicant

Gordon E. Nelson

Typed name of signer

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JC09 Rec'd PCT/PTO 26 FEB 2003

To the Assistant Commissioner of Patents:

Dear Sir: Please stamp and return this postcard with the date of receipt of the following papers in : PCT/US01/00636, Hunter, et al., *Resource Allocation Techniques*, docket no: hunteb01.002

- Transmittal Letter
- PCT Power of Attorney
- 4 Replacement Pages of Figures
- Assignment and cover sheet with check for \$40.00
- U.S. Declaration
- return postcard

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1/4

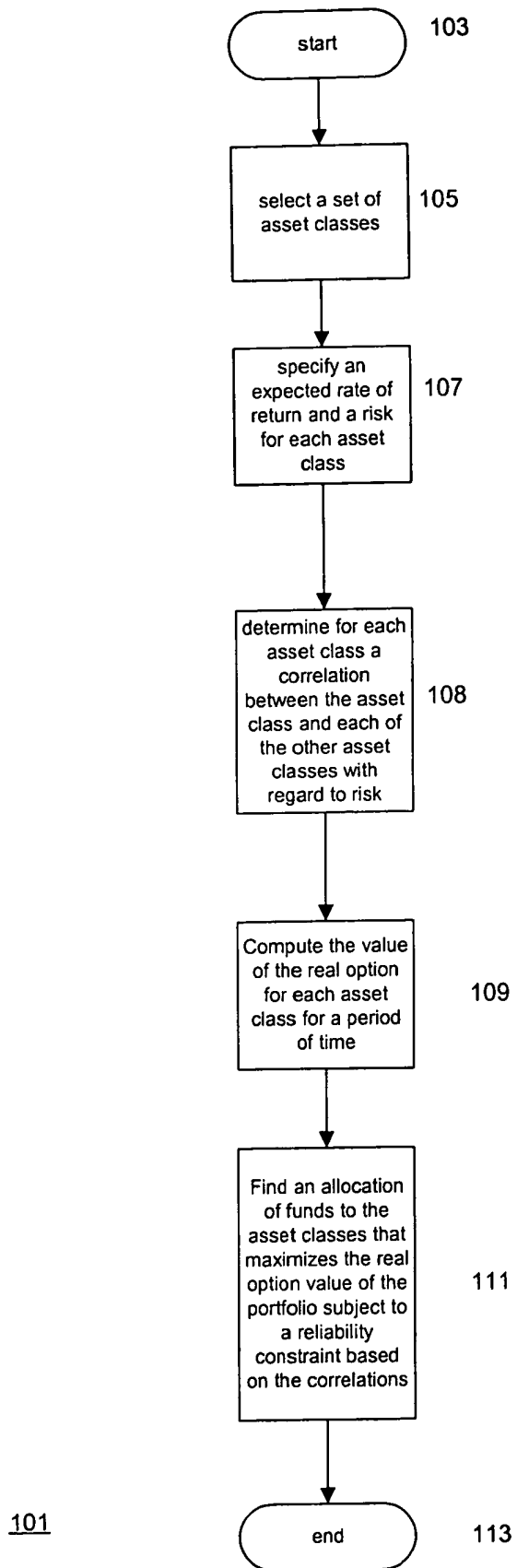


FIG. 1

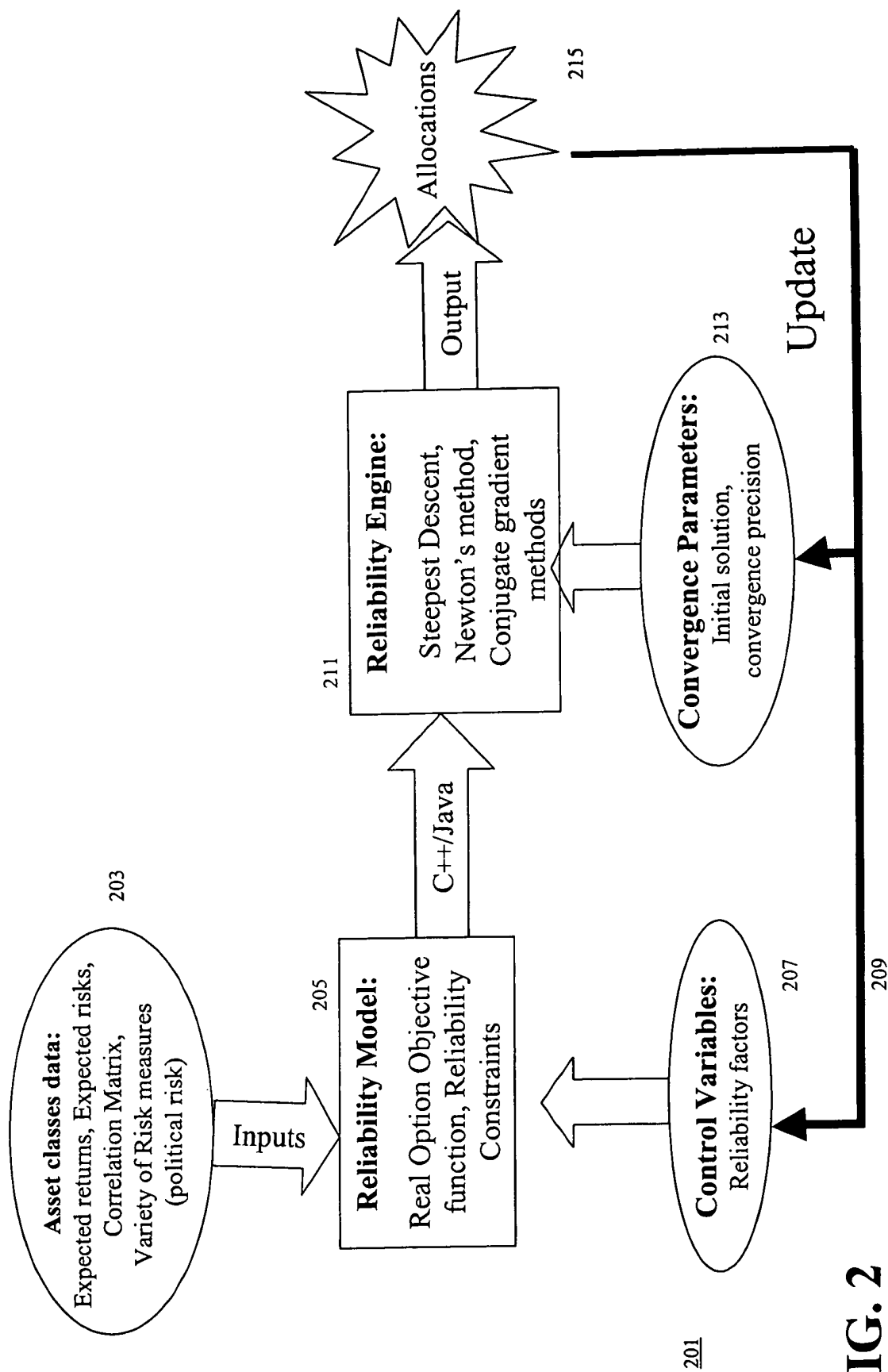


FIG. 2

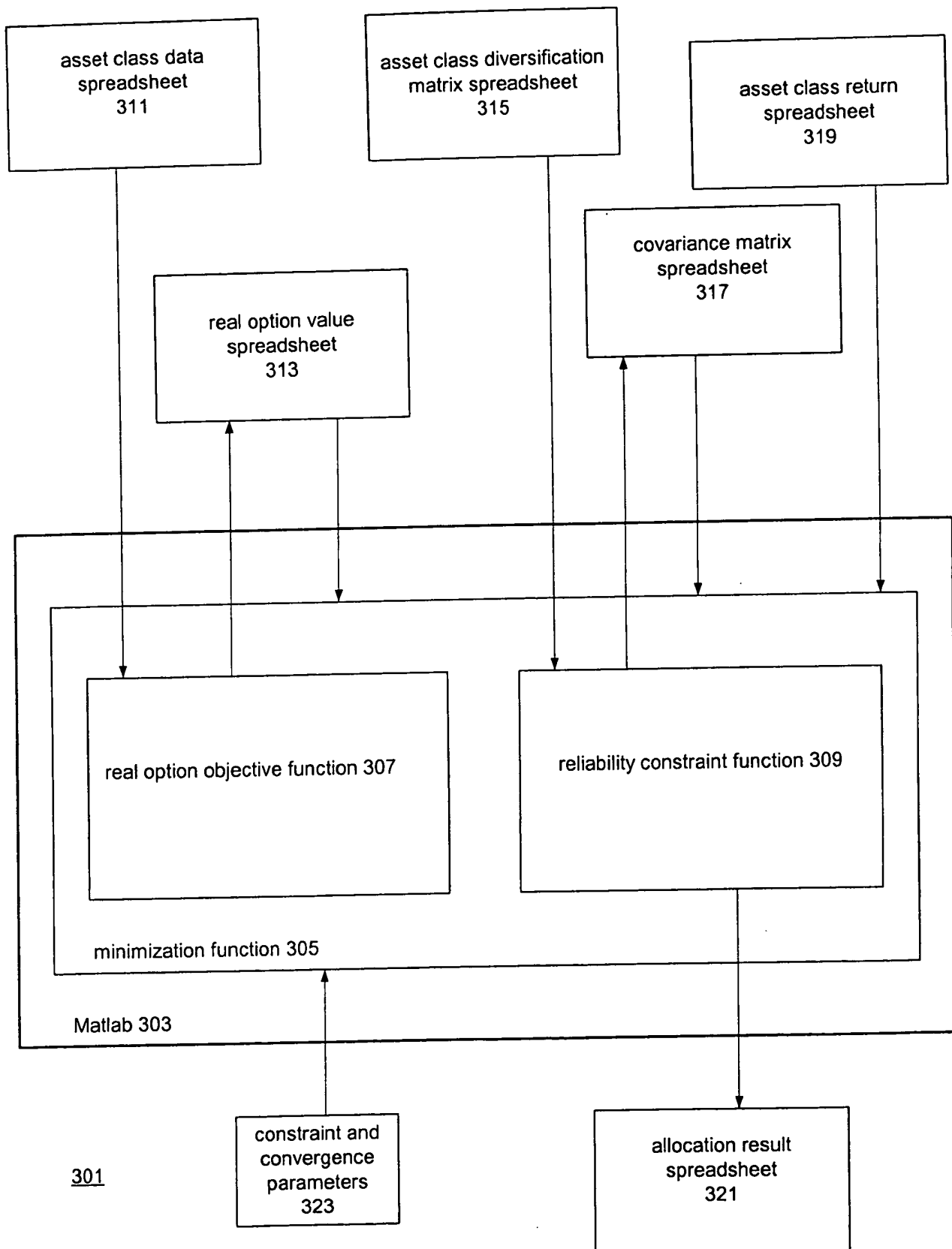


FIG. 3

Storage 403

